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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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10/03/80  
U.S. PTO  
1998

08/30/01

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Jc973 U.S. PTO  
09/04/2001

Att m y Doc k No. 5489P004  
(maximum 12 characters)

First Named Inventor Hyo-Sang Kim

Title: OPTICAL FIBER CLADDING WITH LOW POLARIZATION DEPENDENCE AND AN ACOUSTO-OPTIC TUNABLE FILTER WITH LOW POLARIZATION DEPENDENT LOSS ACHIEVED THROUGH THERMAL ANNEALING

Express Mail Label No. EL617209602US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant Claims Small Entity Status. (37 CFR 1.27)
3.  Specification (Total Pages 31)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) (Total Sheets 7)
5.  Oath or Declaration (Total Pages 5)
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  Application Data Sheet. (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

9.  **Assignment Papers (cover sheet & documents(s))**  
 10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)  
 b. Power of Attorney  
 11.  English Translation Document (if applicable)  
 12.  a. Information Disclosure Statement (IDS)/PTO-1449  
 b. Copies of IDS Citations  
 13.  **Preliminary Amendment**  
 14.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**  
 15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)  
 16.  **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**  
 17.  Other: Copy of postcard with Certificate of Express Mailing pursuant to 37 C.F.R. § 1.10

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

Continuation       Divisional       Continuation-in-part (CIP)  
 Of Prior Application No.: 09/738,282      Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_  
 (which is a  continuation/  divisional/  CIP of prior application no. 09/426,060,  
 which is a  continuation/  divisional/  CIP of prior application no. 09/022,413)  
 which claims priority to Korean Patent Application No. 97-24796 filed June 6, 1997 (List entire chain of priority)

**Applicant(s):** Also include a Preliminary Amendment to amend the specification to claim priority.  
**For CONTINUATION AND DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_ (or a copy of which is attached).

**19. Correspondence Address**

Customer Number or Bar Code Label \_\_\_\_\_  
 or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
 Correspondence Address Below

NAME \_\_\_\_\_

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE) St. John M. De Klerk Registration No.: 46,503

Signature: [Signature] Date: 8/30/01

**FEE TRANSMITTAL FOR FY 2001****TOTAL AMOUNT OF PAYMENT (\$)** 1,356.00**Complete if Known:**

Application No. Not Yet Assigned  
 Filing Date Herewith  
 First Named Inventor Hyo-Sang Kim  
 Group Art Unit Not Yet Assigned  
 Examiner Name Not Yet Assigned  
 Attorney Docket No. 5489P004

**METHOD OF PAYMENT** (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
 Deposit Account Name \_\_\_\_\_

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
   \_\_\_\_\_  
   Credit Card  
   \_\_\_\_\_  
   Money Order  
   \_\_\_\_\_  
   Other

**FEE CALCULATION****1. BASIC FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Code	(\$)	Code	(\$)				
101	710	201	355			Utility application filing fee	<u>710.00</u>
106	320	206	160			Design application filing fee	_____
107	490	207	245			Plant filing fee	_____
108	710	208	355			Reissue filing fee	_____
114	150	214	75			Provisional application filing fee	_____

**SUBTOTAL (1) \$ 710.00****2. EXTRA CLAIM FEES**

<u>Total Claims</u>	<u>Independent Claims</u>	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
47		- 20** = 27	X 18.00	= 486.00
	5	- 3** = 2	X 80.00	= 160.00
				=

Multiple Dependent  
\*\*Or number previously paid, if greater; For Reissues, see below.

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>Fee Description</u>
Code	(\$)	Code	(\$)			
103	18	203	9			Claims in excess of 20
102	80	202	40			Independent claims in excess of 3
104	270	204	135			Multipl dep nd nt claim, if not paid
109	80	209	40			**R issue independent claims ov r riginal patent
110	18	210	9			**R issue claims in excess of 20 and ov r riginal pat nt

**SUBTOTAL (2) \$ 646.00**

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
105	130	205	65
127	50	227	25
			Surcharge - late filing fee or oath
			Surcharge - late provisional filing fee or cover sheet
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
			Non-English specification
			For filing a request for ex parte reexamination
			Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*
			Requesting publication of SIR after Examiner action
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
			Petition to institute a public use proceeding
			Petition to revive – unavoidable
			Petition to revive - unintentional
			Utility issue fee (or reissue)
			Design issue fee
			Plant issue fee
			Petitions to the Commissioner
			Processing fee under 37 CFR 1.17(q)
			Submission of Information Disclosure Stmt
			Recording each patent assignment per property (times number of properties)
146	710	246	355
149	710	249	355
			For filing a submission after final rejection (see 37 CFR 1.129(a))
			For each additional invention to be examined (see 37 CFR 1.129(b))
179	710	279	355
169	900	169	900
			Request for Continued Examination (RCE)
			Request for expedited examination of a design application
195	300	195	300
			Publication fee for early, voluntary, or normal publication
196	300	196	300
194	130	194	130
098	130	098	130
091	1,240	091	1,240
			Publication fee for republication
			Request for voluntary publication or republication
			Processing fee under 37 CFR 1.17(i)
			Acceptance of unintentionally delayed claim for priority

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$** \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Stephen M. De Klerk

Signature: \_\_\_\_\_ Date: 8/30/01

R g. Number: 46,503 Telephone Number: 408-720-8300

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## **EXPRESS MAIL CERTIFICATE OF MAILING**

"Express Mail" mailing label number: EL1617209602US

Date of Deposit: August 30, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Deborah A. McGovern  
(Typed or printed name of person mailing paper or fee)

Deborah A. McGovern  
(Signature of person mailing paper or fee)

August 30, 2001  
(Date signed)

Serial/Patent No.: <u>Not Yet Assigned</u>	Filing/Issue Date: <u>Herewith</u>
Client: <u>Novera Optics, Inc.</u>	
Title: <u>OPTICAL FIBER CLADDING WITH LOW POLARIZATION DEPENDENCE AND AN ACOUSTO-OPTIC TUNABLE FILTER WITH LOW POLARIZATION DEPENDENT LOSS...</u>	
BSTZ File No.: <u>5489P004</u>	Atty/Secty Initials: <u>SMD/dam</u>
Date Mailed: <u>August 30, 2001</u>	Docket Due Date: <u>***</u>
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:	
<input checked="" type="checkbox"/> Amendment/Response (____ pgs.)	
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	
<input type="checkbox"/> Application - Utility ( <u>21</u> pgs., with cover and abstract)	
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	
<input checked="" type="checkbox"/> Application - Rule 1.53(b) CIP ( <u>31</u> pgs.)	
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	
<input type="checkbox"/> Application - Design (____ pgs.)	
<input type="checkbox"/> Application - PCT (____ pgs.)	
<input type="checkbox"/> Application - Provisional (____ pgs.)	
<input type="checkbox"/> Assignment and Cover Sheet	
<input checked="" type="checkbox"/> Certificate of Mailing	
<input checked="" type="checkbox"/> Declaration & POA ( <u>5</u> pgs.) <b>unexecuted</b>	
<input type="checkbox"/> Disclosure Docs & Org & Copy of Invn't Signed Letter (____ pgs.)	
<input checked="" type="checkbox"/> Drawings: <u>7</u> # of sheets includes <u>13</u> figures	
<input checked="" type="checkbox"/> Express Mail No.: <u>EL617209602US</u> <input checked="" type="checkbox"/> Check No. <u>A4977</u>	
<input type="checkbox"/> _____ Month(s) Extension of Time Amt: <u>\$1,356.00</u>	
<input type="checkbox"/> Information Disclosure Statement & PTO-149 (____ pgs.) <input type="checkbox"/> Check No. _____	
<input type="checkbox"/> Issue Fee Transmittal Amt: _____	
<input type="checkbox"/> Notice of Appeal	
<input type="checkbox"/> Petition for Extension of Time	
<input type="checkbox"/> Petition for _____	
<input checked="" type="checkbox"/> Postcard	
<input type="checkbox"/> Power of Attorney (____ pgs.)	
<input type="checkbox"/> Preliminary Amendment (____ pgs.)	
<input type="checkbox"/> Reply Brief (____ pgs.)	
<input type="checkbox"/> Response to Notice of Missing Parts	
<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business	
<input checked="" type="checkbox"/> Transmittal Letter, in duplicate	
<input checked="" type="checkbox"/> Fee Transmittal, in duplicate	
<input checked="" type="checkbox"/> Other: <u>Application Data Sheet, copy of postcard with Certificate of Express Mailing pursuant to C.F.R. §1.10</u>	